

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Leonard Forbes et al.

Title: GETTERING USING VOIDS FORMED BY SURFACE TRANSFORMATION

Docket No.: 1303.108US1

Serial No.: 10/623794

Filed: July 21, 2003

Due Date: N/A

Examiner: Unknown

Group Art Unit: 2811

MS Amendment

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

We are transmitting herewith the following attached items (as indicated with an "X"):

- ☒ A return postcard.
- ☒ A Communication Concerning Related Applications (3 pgs.).
- ☒ An Information Disclosure Statement (2 pgs.), Form 1449 (11 pgs.), and copies of 111 cited documents.

If not provided for in a separate paper filed herewith, Please consider this a PETITION FOR EXTENSION OF TIME for sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

Customer Number 21186

By: M L B

Atty: Marvin L. Beekman

Reg. No. 38,377

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JAMES E. KAUSIK  
Name

James E. Kausik  
Signature

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.

(GENERAL)



S/N 10/623794

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Leonard Forbes et al.	Examiner:	Unknown
Serial No.:	10/623794	Group Art Unit:	2811
Filed:	July 21, 2003	Docket:	1303.108US1
Title:	GETTERING USING VOIDS FORMED BY SURFACE TRANSFORMATION		

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COMMUNICATION CONCERNING RELATED APPLICATION(S)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Applicants would like to bring to the Examiner's attention the following related application(s) in the above-identified patent application:

<u>Serial/Patent No.</u>	<u>Filing Date</u>	<u>Attorney Docket</u>	<u>Title</u>
10/052952	January 17, 2002	1303.034US1	THREE-DIMENSIONAL PHOTONIC CRYSTAL WAVEGUIDE STRUCTURE AND METHOD
10/382246	March 5, 2003	1303.086US1	CELLULAR MATERIALS FORMED USING SURFACE TRANSFORMATION
10/379749	March 5, 2003	1303.089US1	MICRO-MECHANICALLY STRAINED SEMICONDUCTOR FILM
10/425797	April 29, 2003	1303.093US1	LOCALIZED STRAINED SEMICONDUCTOR ON INSULATOR
10/431134	May 7, 2003	1303.094US1	STRAINED Si/SiGe STRUCTURES BY ION IMPLANTATION
10/425484	April 29, 2003	1303.095US1	STRAINED SEMICONDUCTOR BY WAFER BONDING WITH MISORIENTATION
10/443340	May 21, 2003	1303.099US1	ULTRA-THIN SEMICONDUCTORS BONDED ON GLASS SUBSTRATES
10/431137	May 7, 2003	1303.100US1	MICROMECHANICAL STRAINED SEMICONDUCTOR BY WAFER BONDING
10/634174	August 5, 2003	1303.102US1	STRAINED Si/SiGe/SOI ISLANDS AND PROCESSES OF MAKING SAME

COMMUNICATION CONCERNING RELATED APPLICATIONS

Serial Number: 10/623794

Filing Date: July 21, 2003

Title: GETTERING USING VOIDS FORMED BY SURFACE TRANSFORMATION

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10/443337	May 21, 2003	1303.103US1	GETTERING OF SILICON ON INSULATOR USING RELAXED SILICON GERMANIUM EPITAXIAL PROXIMITY LAYERS
10/443339	May 21, 2003	1303.104US1	WAFER GETTERING USING RELAXED SILICON GERMANIUM EPITAXIAL PROXIMITY LAYERS
10/623788	July 21, 2003	1303.109US1	STRAINED SEMICONDUCTOR BY FULL WAFER BONDING
09/855532	May 16, 2001		METHOD OF FORMING MIRRORS BY SURFACE TRANSFORMATION OF EMPTY SPACES IN SOLID STATE MATERIALS
09/861770 6582512	May 22, 2001		METHOD OF FORMING THREE- DIMENSIONAL PHOTONIC BAND STRUCTURES IN SOLID MATERIALS
09/734547 6383924	December 13, 2000		METHOD OF FORMING BURIED CONDUCTOR PATTERNS BY SURFACE TRANSFORMATION OF EMPTY SPACES IN SOLID STATE MATERIALS
10/118350	April 9, 2002		METHOD OF FORMING SPATIAL REGIONS OF A SECOND MATERIAL IN A FIRST MATERIAL
10/093332	March 7, 2002		METHOD AND APPARATUS FOR PACKAGING SEMICONDUCTOR DEVICES

COMMUNICATION CONCERNING RELATED APPLICATIONS

Serial Number: 10/623794

Filing Date: July 21, 2003

Title: GETTERING USING VOIDS FORMED BY SURFACE TRANSFORMATION

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Dkt: 1303.108US1

Respectfully submitted,

LEONARD FORBES ET AL.

By Applicants' Representatives,

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Minneapolis, MN 55402

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Date

5-10-04

By



Marvin L. Beekman

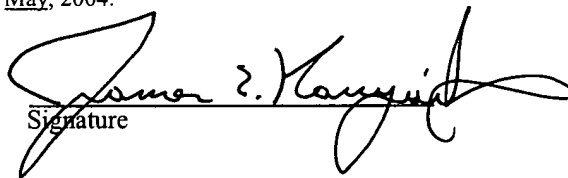
Reg. No. 38,377

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Name

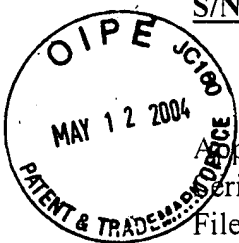
JAMES E. KANYUSIK

Signature



S/N 10/623794

PATENT



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Leonard Forbes et al.	Examiner:	Unknown
Serial No.:	10/623794	Group Art Unit:	2811
Filed:	July 21, 2003	Docket:	1303.108US1
Title:	GETTERING USING VOIDS FORMED BY SURFACE TRANSFORMATION		

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicants respectfully request that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicants request that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicants with the next official communication.

Pursuant to 37 C.F.R. §1.97(b), it is believed that no fee or statement is required with the Information Disclosure Statement. However, if an Office Action on the merits has been mailed, the Commissioner is hereby authorized to charge the required fees to Deposit Account No. 19-0743 in order to have this Information Disclosure Statement considered.

The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.

The present application is either a U.S. national patent application filed after June 30, 2003 or an international application that entered the national stage under 35 U.S.C. § 371 after June 30, 2003. Thus, Applicant believes that the U.S. Patent & Trademark Office has waived the requirement under 37 C.F.R. 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication. The waiver is provided in a pre-OG notice from the U.S. Patent & Trademark Office entitled "Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after

**INFORMATION DISCLOSURE STATEMENT**

Page 2

Serial No : 10/623794

Dkt: 1303.108US1

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Title: GETTERING USING VOIDS FORMED BY SURFACE TRANSFORMATION

June 30, 2003" and dated July 11, 2003. Applicant acknowledges the requirement to submit copies of foreign patent documents and non-patent literature in accordance with 37 C.F.R. 1.98(a)(2).

Respectfully submitted,

LEONARD FORBES ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
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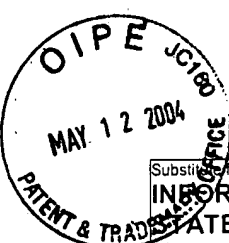
Date 5-10-04

By Mar L Beekman  
Marvin L. Beekman  
Reg. No. 38,377

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JAMES E. KAUFUSIK  
Name

James E. Kaufusik  
Signature



Substitute for form 1449A/PTO  
**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(Use as many sheets as necessary)

<i>Complete if Known</i>	
<b>Application Number</b>	10/623794
<b>Filing Date</b>	July 21, 2003
<b>First Named Inventor</b>	Forbes, Leonard
<b>Group Art Unit</b>	2811
<b>Examiner Name</b>	Unknown

Sheet 1 of 11	Attorney Docket No: 1303.108US1
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**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
	US-2002/0001965	01/03/2002	Forbes, Leonard	438	734	07/22/1997
	US-2002/0062782	05/30/2002	Norris, D. J., et al.	117	3	09/06/2001
	US-2002/0070419	06/13/2002	Farrar, Paul A., et al.	257	503	08/29/2001
	US-2002/0070421	06/13/2002	Ashburn, Stanton P.	257	510	02/08/2002
	US-2002/0076896	06/20/2002	Farrar, Paul A., et al.	438	401	12/15/2000
	US-2002/0175330	11/28/2002	Geusic, Joseph	257	74	05/22/2001
	US-2002/0185686	12/12/2002	Christiansen, Silke H., et al.	257	347	04/03/2002
	US-2003/0227072	12/11/2003	Forbes, Leonard	257	616	06/10/2002
	US-2003/0027406	02/06/2003	Malone, Farris D.	438	471	08/01/2001
	US-2003/0042627	03/06/2003	Farrar, Paul A., et al.	257	503	10/22/2003
	US-2003/0133683	07/17/2003	Forbes, Leonard	385	132	01/17/2002
	US-2003/0157780	08/21/2003	Farrar, Paul A., et al.	438	401	02/10/2003
	US-2003/0190796	10/09/2003	Geusic, Joseph	438	478	04/09/2002
	US-2003/0201468	10/30/2003	Christiansen, H., et al.	257	200	04/30/2003
	US-2003/0218189	11/27/2003	Christiansen, Silke H., et al.	257	200	11/19/2002
	US-4,241,359	12/23/1980	Izumi, Katsutoshi , et al.	257	386	03/02/1978
	US-4,314,595	02/09/1982	Yamamoto, , et al.	148	1.5	01/08/1980
	US-4,589,928	05/20/1986	Dalton, John V.	438	142	08/21/1984
	US-4,717,681	01/05/1988	Curran, Patrick A.	438	314	05/19/1986
	US-5,426,061	06/20/1995	Sopori, Bhushan L.	438	475	09/06/1994
	US-5,443,661	08/22/1995	Oguro, Shizuo , et al.	148	33.5	07/27/1994
	US-5,461,243	10/24/1995	Ek, Bruce A., et al.	257	190	10/29/1993
	US-5,471,180	11/28/1995	Brommer, K. , et al.	333	202	12/06/1993
	US-5,526,449	06/11/1996	Meade, R. , et al.	385	14	07/14/1994
	US-5,646,053	07/08/1997	Schepis, Dominic J.	438	402	12/20/1995

**EXAMINER**

**DATE CONSIDERED**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

<b>Application Number</b>	10/623794
<b>Filing Date</b>	July 21, 2003
<b>First Named Inventor</b>	Forbes, Leonard
<b>Group Art Unit</b>	2811
<b>Examiner Name</b>	Unknown

Sheet 2 of 11

Attorney Docket No: 1303.108US1

	US-5,661,044	08/26/1997	Holland, Orin W., et al.	438	766	06/15/1995
	US-5,691,230	11/25/1997	Forbes, Leonard	437	62	09/04/1996
	US-5,739,796	04/14/1998	Jasper, L. J., et al.	343	895	10/30/1995
	US-5,759,898	06/02/1998	Ek, Bruce , et al.	438	291	12/19/1996
	US-5,773,152	06/30/1998	Okonogi, Kensuke	428	446	10/13/1995
	US-5,789,859	08/04/1998	Watkins, Charles M., et al.	313	495	11/25/1996
	US-5,840,590	11/24/1998	Myers Jr., Samuel M., et al.	438	471	12/01/1993
	US-5,879,996	03/09/1999	Forbes, Leonard	438	289	09/18/1996
	US-5,963,817	10/05/1999	Chu, Jack O., et al.	438	410	10/16/1997
	US-5,997,378	12/07/1999	Dynka, Danny , et al.	445	25	07/29/1998
	US-5,999,308	12/07/1999	Nelson, K. A., et al.	359	321	04/01/1998
	US-6,001,711	12/14/1999	Hashimoto, Takasuke	438	473	03/09/1998
	US-6,022,793	02/08/2000	Wijaranakula, Witawat , et al.	438	473	10/21/1997
	US-6,054,808	04/25/2000	Watkins, Charles M., et al.	313	495	01/26/1999
	US-6,075,640	06/13/2000	Nelson, K. A.	359	239	11/25/1998
	US-6,083,324	07/04/2000	Henley, Francois J., et al.	148	33.2	02/19/1998
	US-6,093,623	07/25/2000	Forbes, Leonard	438	455	08/04/1998
	US-6,093,624	07/25/2000	Letavic, Theodore J., et al.	438	462	12/23/1997
	US-6,127,777	10/03/2000	Watkins, Charles M., et al.	313	554	07/31/1998
	US-6,139,626	10/31/2000	Norris, D. J., et al.	117	68	09/04/1998
	US-6,172,456	01/09/2001	Cathey, David A., et al.	313	495	04/05/1999
	US-6,174,784	01/16/2001	Forbes, Leonard	438	405	11/14/1997
	US-6,204,145	03/20/2001	Noble, Wendell P.	438	412	08/07/1998
	US-6,228,694	05/08/2001	Doyle, Brian S., et al.	438	199	06/28/1999
	US-6,251,751	06/26/2001	Chu, Jack O., et al.	438	439	04/13/1999
	US-6,261,876	07/17/2001	Crowder, S. W., et al.	438	149	11/04/1999
	US-6,274,460	08/14/2001	Delgado, Jose A., et al.	438	476	06/17/1999
	US-6,309,950	10/30/2001	Forbes, Leonard	438	455	03/23/2000
	US-6,315,826	11/13/2001	Muramatsu, Satoru	117	95	06/22/2000
	US-6,338,805	01/15/2002	Anderson, Gary L.	216	89	07/14/1999
	US-6,339,011	01/15/2002	Gonzalez, Fernando , et al.	438	473	03/05/2001
	US-6,368,938	04/09/2002	Usenko, Alexander Y.	438	407	06/07/2000
	US-6,376,336	04/23/2002	Buynoski, Matthew S.	438	476	02/01/2001

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached



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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)	Complete if Known	
	Application Number	10/623794
	Filing Date	July 21, 2003
	First Named Inventor	Forbes, Leonard
	Group Art Unit	2811
	Examiner Name	Unknown
Sheet 3 of 11	Attorney Docket No: 1303.108US1	

	US-6,377,070	04/23/2002	Forbes, Leonard	326	41	02/09/2001
	US-6,383,924	05/07/2002	Farrar, Paul A., et al.	438	667	12/13/2000
	US-6,391,738	05/21/2002	Moore, John T.	438	402	12/20/2000
	US-6,423,613	07/23/2002	Geusic, Joseph	438	455	11/10/1998
	US-6,424,001	07/23/2002	Forbes, Leonard , et al.	257	315	02/09/2001
	US-6,436,187	08/20/2002	Patel, S. , et al.	117	68	09/01/1999
	US-6,444,534	09/03/2002	Maszara, Witold P.	438	311	01/30/2001
	US-6,448,601	09/10/2002	Forbes, Leonard , et al.	257	302	02/09/2001
	US-6,452,713	09/17/2002	White, et al.	359	322	12/29/2000
	US-6,461,933	10/08/2002	Houston, T. W.	438	423	11/08/2001
	US-6,478,883	11/12/2002	Tamatsuka, Masaro , et al.	148	33.2	04/18/2000
	US-6,496,034	12/17/2002	Forbes, Leonard , et al.	326	041	02/09/2001
	US-6,531,727	03/11/2003	Forbes, Leonard , et al.	257	302	02/09/2001
	US-6,538,330	03/25/2003	Forbes, Leonard	257	777	03/23/2000
	US-6,541,356	04/01/2003	Fogel, K. E., et al.	438	480	05/31/2001
	US-6,542,682	04/01/2003	Cotteverte, J. J., et al.	385	125	08/15/2001
	US-6,559,491	05/06/2003	Forbes, Leonard , et al.	257	296	02/09/2001
	US-6,566,682	05/20/2003	Forbes, Leonard	257	51	02/09/2001
	US-6,579,738	06/17/2003	Farrar, Paul A., et al.	438	33	12/15/2000
	US-6,582,512	06/24/2003	Geusic, Joseph E., et al.	117	3	05/22/2001
	US-6,583,437	06/24/2003	Mizuno, T. , et al.	257	19	03/19/2001
	US-6,593,625	07/15/2003	Christiansen, Silke H., et al.	257	347	04/03/2002
	US-6,597,203	07/22/2003	Forbes, Leonard	326	98	03/14/2001
	US-6,630,713	10/07/2003	Geusic, Joseph	257	347	02/25/1999
	US-6,649,476	11/18/2003	Forbes, Leonard	438	268	02/15/2001

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	EP-1030196	08/23/2000	Van Nest Braun, P. , et al.	G02 B	5/20	
	EP-1085352	03/21/2001	Hiraoka, T. , et al.	G02 B	6/12	
	EP-434984	09/03/1991	Lindberg, Keith J., et al.	H01L	21/322	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2" style="text-align: center;"><i>Complete if Known</i></td> </tr> <tr> <td style="width: 40%;">Application Number</td> <td>10/623794</td> </tr> <tr> <td>Filing Date</td> <td>July 21, 2003</td> </tr> <tr> <td>First Named Inventor</td> <td>Forbes, Leonard</td> </tr> <tr> <td>Group Art Unit</td> <td>2811</td> </tr> <tr> <td>Examiner Name</td> <td>Unknown</td> </tr> </table>	<i>Complete if Known</i>		Application Number	10/623794	Filing Date	July 21, 2003	First Named Inventor	Forbes, Leonard	Group Art Unit	2811	Examiner Name	Unknown
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Application Number	10/623794												
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Group Art Unit	2811												
Examiner Name	Unknown												
Sheet 4 of 11	Attorney Docket No: 1303.108US1												

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	JP-2001-093887	04/06/2001	Kunihiro, M., et al.	H01L	21/306 5	
	WO-98/35248	08/13/1998	Fink, Y. , et al.	G02 B	6/138	
	WO-WO02097982	12/05/2002	Pavio, Anthony M., et al.	H03 G	3/10	

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Cornell Demonstrates a Universal Substrate", <u>Compound Semiconductor</u> , 3(2), (March/April 1997), 27-29	
		ABE, T , "Silicon Wafer-Bonding Process Technology for SOI Structures", <u>Extended Abstracts of the 22nd (1990 International) Conference on Solid State Devices and Materials</u> , (1990), 853-856	
		AUBERTON-HERVE, A J., "SOI: Materials to Systems", <u>International Electron Devices Meeting. Technical Digest</u> , (1996), 3-10	
		AUTUMN, KELLAR , et al., "Adhesive force of a single gecko foot-hair", <u>Nature</u> , 405(6787), (June 2000), 681-685	
		AUTUMN, KELLAR , et al., "Evidence for van der Waals adhesion in gecko setae.", <u>Proceedings of the National Academy of Science U S A.</u> , 99(19), (September 17, 2002), 12252-6	
		BAGINSKI, T. A., "Back-side germanium ion implantation gettering of silicon", <u>Journal of the Electrochemical Society</u> , 135(7), Dept of Electrical Engineering, Auburn Univ, AL, (July 1988), 1842-3	
		BANHART, JOHN , "Manufacture, characterisation and application of cellular metals and metal foams", <u>Progress in Materials Science</u> , Volume 46, Issue 6, (2001), 559-632	
		BANHART, JOHN , et al., "On the road again: metal foams find favor", <u>Physics Today</u> , 55(7), (July 2002), 37-42	
		BELFORD, RONA E., et al., "Performance-Augmented CMOS Using Back-End Uniaxial Strain", <u>IEEE 60th DRC. Conference Digest Device Research Conference</u> , 2002, (June 24-26, 2002), 41-42	
		BERTI, M. , "Composition and Structure of Si-Ge Layers Produced by Ion Implantation and Laser Melting", <u>Journal of Materials Research</u> , 6(10), (October 1991), 2120-2126	
		BERTI, M. , "Laser Induced Epitaxial Regrowth of Si <sub>1-x</sub> Ge <sub>x</sub> /Si Layers Produced by Ge Ion Implantation", <u>Applied Surface Science</u> , 43, (1989), 158-164	
		BIALAS, F. , et al., "Intrinsic Gettering of 300 mm CZ Wafers", <u>Microelectronic Engineering</u> , 56(1-2), (May 2001), 157-63	

EXAMINER

DATE CONSIDERED

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

<b>Application Number</b>	10/623794
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		YANG, P , et al., "Patterning Porous Oxides within Microchannel Networks", <u>Advanced Materials</u> , 13(6), (March 2001),427-431	
		YIN, HAIZHOU , "High Ge-Content Relaxed Si <sub>1-x</sub> Ge <sub>x</sub> Layers by Relaxation on Complaint Substrate with Controlled Oxidation", <u>Electronic Materials Conference</u> , Santa Barbara, June 2002, (June 2002),8	
		ZHU, Z H., et al., "Wafer bonding and its application on compliant universal (CU) substrates", <u>Conference Proceedings, 10th Annual Meeting IEEE Lasers and Electro-Optics Society</u> , (November 10-13, 1996),31	
		ZHU, Z H., et al., "Wafer bonding technology and its applications in optoelectronic devices and materials", <u>IEEE Journal of Selected Topics in Quantum Electronics</u> , (June 1997),927 - 936	

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